Guide to Performance Management

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Guide to Performance Management

Introduction
This Guide to Performance Management has been produced and published by the UCSD Human Resources Department. It is intended for anyone who manages the performance of others. Whether you are a first-time work leader or an experienced supervisor, manager, program director or department chair, this Guide will provide you with useful information and step-by-step guidelines about the performance management process.

You are involved in performance management when you:

- Establish specific job assignments
- Write job descriptions and assign responsibility for strategic initiatives develop and apply performance standards
- Discuss job performance with the employee and provide feedback on strengths and improvements needed
- Conduct an annual performance evaluation
- Plan for improved performance and employee development goals.

This Guide will help you and those whose performance you manage to plan for results which will meet or exceed your expectations. You will learn how to work collaboratively with your employees to:

- Identify and describe the employee's essential job functions in support of the mission of the organization
- Identify and define strategic initiatives appropriate to the employee's essential functions which support the goals of the organization
- Develop realistic and appropriate performance standards
- Give and receive helpful behavioral feedback about performance
- Write and deliver constructive performance evaluations
- Plan education and development opportunities to sustain, improve or build on current performance.

If you have questions, or if you have not managed work performance before, we recommend that you:

- Read the personnel policies and procedures concerning your employees
- Contact the Human Resources Generalist for your area at the Medical Center
- Consult the Human Resources representative in your campus department
- Consult the Employee Relations consultant for your campus department
- Enroll in the performance management-related courses offered by Staff Education and Development on campus.
Guide to Performance Management

Definitions

Performance Management: An ongoing communication process that involves both the performance manager and the employee in:

- Identifying and describing essential job functions and relating them to the mission and goals of the organization
- Developing realistic and appropriate performance standards
- Giving and receiving feedback about performance
- Writing and communicating constructive performance appraisals
- Planning education and development opportunities to sustain, improve or build on employee work performance.

Employee: The person whose performance is managed.

Performance Standards: Standards of performance are written statements describing how well a job should be performed.

Performance Appraisal: Performance appraisal is a process of assessing, summarizing, and developing the work performance of an employee.

Human Resources Department: The Human Resources department on campus and Healthcare Human Resources.

Designated Supervisor: A performance manager who is officially recognized as a supervisor by the University and who is therefore not represented by a collective bargaining unit.
Overview of Performance Management

The evolution of the concept of performance management as a Human Resource Management model reflects a change of emphasis in organizations away from command-and-control toward a facilitation model of leadership. This change has been accompanied by a recognition of the importance to the employee and the institution of relating work performance to the strategic or long term and overarching mission of the organization as a whole. Employees' goals and objectives are derived from their department's, which in turn support the mission and goals of the University.

The performance management process provides an opportunity for the employee and performance manager to discuss development goals and jointly create a plan for achieving those goals. Development plans should contribute to organizational goals and the professional growth of the employee. The planning process must also involve consideration of the emerging University environment.

The changing University environment is characterized in the task group report, UC 2010: A New Business Architecture. Demographic change, increased enrollment pressures, competition for faculty, pressures to constrain administrative costs, regulatory and policy pressures, higher transaction volumes and services expectations, and greater influence of customers or constituents all have a part in changing the way we do our work.


The New Business Architecture report suggests six strategies for responding proactively to this environment. One of those strategies focuses on the importance of staff employees, and its three key objectives are:

- aggressive and innovative strategies to recruit and retain the best staff to support the UC mission;
- new problem-solving and teamwork skills in our workplace to support a larger, more complex organization;

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a human resources infrastructure designed to support the best workforce for
our mission.

For performance managers, this changing environment offers many challenges
and opportunities. Performance managers and their employees are increasingly
being asked to become generalists who step outside of traditional narrowly-
deﬁned job descriptions in support of team objectives and goals. These changes
are resulting in the development of new approaches to human resource
management.

The New Business Architecture also underscores the vital role of education,
training and development to enable the university to adapt to rapid change and
retain employees at the same time. In this organization, continuous learning is a
prerequisite to successful job performance and organizational effectiveness.

Employees must be able to develop effective technical and people skills in order
to assume new responsibilities, and keep pace with and anticipate the changing
nature of work and our workplace.

For performance managers and employees alike, responding to these changes
requires the ability to learn, adapt to change, solve problems creatively, and
communicate effectively in diverse groups. In addition, employees must take
personal and proactive responsibility for their careers to ensure future
employability and advancement.

The realities of the contemporary workplace will continue to challenge existing
paradigms and should be considered in managing the performance of employees
in a dynamic working environment.
Guide to Performance Management

Job Description & Strategic Plan

Writing a job description is a process of systematically collecting, analyzing, and documenting the important facts about a job.

A strategic plan is composed of a mission statement, identified goals related to the organization's mission, as well as strategic initiatives necessary to accomplish each goal. Assignment of responsibility for the accomplishment of goals and strategic initiatives is related to the essential functions of the job description.

JOB DESCRIPTION

Before a job vacancy is advertised, a job description is completed. After the employee is hired, this job description becomes the job assignment and forms the basis of the job function description in performance appraisals.

Writing a job description is a process of systematically collecting, analyzing, and documenting the important facts about a job. This process is called job analysis. The job description provides a basis for job related selection procedures and performance standards.

The job description specifies:

- Specific job functions and tasks
- Functions and tasks which are essential
- Percentage of time typically spent performing each function
- Skills, knowledge and abilities required to perform the job successfully
- Physical and mental requirements of the position
- Special conditions of employment
- Level of supervision received and exercised.

The performance manager should share the job description with the employee in the job interview and during his or her first few days on the job. To learn more about writing a job description, you can:

- Review How to Classify or Reclassify a Staff Position and the Online Job Description in BLINK.
- For examples of job descriptions or to copy an existing one, visit the Online Job Description or consult your department human resources contact.
- Arrange for consulting time with your Classification/Compensation consultant, especially when the position is new or substantial revisions of the existing job description are required.
• Consult the Staff Education and Development catalog or browse Enrollment Central for related courses.

STRATEGIC PLAN
A strategic plan is composed of a mission statement, identified goals related to the organization's mission, as well as strategic initiatives necessary to accomplish each goal. The mission statement describes the fundamental reason that your organization or department exists. The goals identify the results that will further that mission, and strategic initiatives set out the specific steps that must be taken to achieve those results. Strategic planning is a dynamic process usually revisited at intervals of between one to two years.

Individual employees will each make a contribution to the realization of goals and may be responsible for accomplishment of specific strategic initiatives in support of those goals. To ensure that initiatives are completed, those responsible for particular strategic initiatives are usually named and due dates specified.

Below is an excerpt from a strategic plan:

| Mission: To provide user-friendly, cost effective campus-wide access to statistical data for faculty, staff and student research purposes. |
|---|---|---|
| Goals | Strategic Initiatives | Responsibility / Date Due |
| To provide access to statistical data via client-server architecture. | 1. Identify and acquire file server to support campuswide access. | XYZ team 5/4/98 |
| | 2. Identify and acquire software to support campuswide access. | XYZ team 9/1/98 |
| | 3. Design menu structure to support system. | J. Smith, M. Gomez 10/31/98 |

In the example above, J. Smith and M. Gomez may be Programmer Analysts for whom design of menus is a task related to the essential function of new system design on their existing job descriptions.

As a performance manager, you should consider the annual goals and strategic initiatives for which the employee has responsibility when describing the position, setting standards of work performance, giving feedback about performance, doing the annual performance appraisal, and planning for employee education, training and development.
Guide to Performance Management

Standards of Performance

Standards of performance are written statements describing *how well* a job should be performed. Performance standards are developed collaboratively with employees, whenever possible, and explained to new employees during the first month on the job.

For additional information about writing performance standards, see BLINK.

The performance standard provides a benchmark against which work performance is evaluated. While the job description describes the essential functions and the tasks to be done, the performance standard defines *how well* each function or task must be performed in order to meet or exceed expectations. The University also establishes general criteria for evaluating work performance.

Standards of performance are usually:

- Developed in collaboration with the employees who do the tasks or functions
- Explained to new employees within the first month on the job.

The University specifies general criteria for the five appraisal ratings, which are found on form for the performance appraisal model used in your Vice Chancellor area (see Policy 23, Performance Management Procedures, UCSD Implementing Procedures for downloadable forms). These ratings describe the level of performance of the individual employee compared to a job description and standard of performance.

**E** = Exceptional: Performance well exceeds expectations and is consistently outstanding.

**A** = Above Expectations: Performance is consistently beyond expectations.

**S** = Solid Performance: Performance consistently fulfills expectations and at times exceeds them.

**I** = Improvement Needed: Performance does not consistently meet expectations.

**U** = Unsatisfactory: Performance is consistently below expectations. Deficiencies should be addressed as noted in the performance appraisal.

As a performance manager, you will use these criteria to rate the employee's performance. At the beginning of the appraisal period, review these ratings and the performance standards for each position that reports to you so that you can fairly evaluate the employee's performance.

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HOW TO DEVELOP WRITTEN PERFORMANCE STANDARDS

When performance standards are in place, both you and your employees will know what the expectations are for the performance of essential functions and related tasks. This common understanding provides the basis for ongoing feedback and performance counseling between appraisals as well as for the formal performance appraisal process.

Developing Standards Collaboratively:
There are a number of approaches to developing written performance standards.

In the directive approach, the performance manager writes the standards in consultation with management and the Employee Relations representative for his or her department. The standards are then shared with the employees for their information and to address any questions they may have.

In the collaborative approach, employees work with you to develop the performance standards for their positions. While it is a legitimate option to develop the standards without employee input, the benefits of a collaborative approach are important. Both the performance manager and the employee bring valuable information to the process and the end result is more likely to be supported by everyone involved.

As the performance manager, however, you will make the final decision about the appropriateness of the standards in consultation with management and the Employee Relations consultant for your department. Mutual agreement with the employee about standards is preferable, but not always possible. Mutual understanding and recognition of the standards is necessary.

In the collaborative process of developing standards for a task or function, include all of those employees whose work will be evaluated according to those standards. If the task or function is unique to one position, then include the employee in that position in the development process. If the task or function is performed by more than one employee, involve all employees whose job description includes it. For the sake of fairness and consistency, consider collaborating with other units in your department if employees reporting to different performance managers perform the same tasks or functions.

Before you meet, explain to everyone involved exactly what performance standards are, why they are important, and how they will be used. Confirm that the employees understand the process and solicit their comments and questions. Tell them that you would like to work together to develop standards for their positions and that their recommendations and concerns will be considered seriously. Describe the process you will follow. Also explain that it is your responsibility to make the final determination about the appropriateness of the standards.
Writing the Standards:
Make sure that all participants in the standards writing process have access to the following documents:
- An up-to-date copy of their job description
- A copy of the department mission and goals, if available
- The form for the performance appraisal model used in your Vice Chancellor area.

You may find that it is appropriate to define standards that apply to an entire essential function, though typically standards are developed for related tasks. It is not necessary to write a performance standard for every task in a job. Focus on those that are most important to the position.

Discuss and describe those behaviors and results that would constitute the minimum acceptable performance for the task or function. Performance that satisfies those standards will receive the rating of solid performance. You may also describe the behaviors and results that would demonstrate performance that would exceed expectations, and/or would fall below expectations. The same principles apply to the development of standards, regardless of the rating.

Standards should be written in clear language, describing the specific behaviors and actions required for work performance to meet, exceed or fail to meet expectations. Use specific terms describing measurable or verifiable features of the performance.

When standards are written in collaboration with the employees for whose positions they are being developed, it is more likely that the standards will:
- Be appropriate to the requirements of the job
- Reflect the realities of the work context and conditions
- Be understood by the employee and performance manager
- Be accepted by the employee and the performance manager.

Better understanding leads to better performance.

1. Describe performance expectations in terms of timeliness (deadlines, dates), cost (budget constraints, limits), quality (subjective and objective measures of satisfaction)
2. **Quantity** (how many), customer satisfaction, independent initiative demonstrated and any other relevant verifiable measure
3. Specify the acceptable margin for error. It is very rare for perfection to be an appropriate standard, even for outstanding performance
4. Refer to any specific conditions under which the performance is expected to be accomplished or performance assessed. Statements like the following refer to the conditions under which the task or function is done: 1) with training from Frank, 2) using job aids provided by Ly, 3) assuming all required information is received on time from department, 4) assuming [this task] is performed 50% of the work day

Written performance standards may also be developed for the general categories to be evaluated, found under Significant Performance Dimensions of Performance Appraisal Model Three: initiative/innovation, teamwork/collaboration, leadership, decision-making, etc. and, when appropriate, optional dimensions such as cost control or making a difference. Develop standards for
these categories with the particular position as well as the needs of the organization in mind.

Remember that performance standards should be written for the position rather than for a particular person. The standards should be reasonable and appropriate no matter who is doing the job.

Performance standards may be written to different levels of complexity. The more general the applicability, the harder it is to be specific.

**LEVEL DESCRIPTION**

**Level 1 Simple description of general expectation.**

Example:
Task Description: Assemble widgets.
Standard: Put widgets into the correct slots.

Example:
Task Description: Write annual reports.
Standard: Annual reports will be submitted by agreed upon date.

**Level 2 Simple description of specific expectations.**

Example:
Task Description: Assemble widgets.
Standard: Put widget A into slot B, completing 5 correct placements per minute.

Example:
Task Description: Write annual reports.
Standard: Annual reports will be submitted to the Business Officer 5 working days before January 15.

**Level 3 Description of specific expectations and success indicators.**

Example:
Task Description: Assemble widgets.
Standard: Put widget A into slot B, completing 5 correct placements per minute for 95 widgets out of 100.

Example:
Task Description: Write annual reports.
Standard: Annual reports will be produced following the departmental format and submitted to the Business Officer 5 working days before January 15.

**Level 4 Description of specific expectations, success indicators, and conditions, if any.**

Example:
Task Description: Assemble widgets.
Standard: Put widget A into slot B, completing 5 correct placements per minute for 95 widgets out of 100, assuming the equipment is in working order.
Example:
Task Description: Write annual reports.
Standard: Annual reports will be produced following the departmental format and submitted to the Business Officer 5 working days before January 15, unless otherwise directed by Department Head.

EXAMPLES

Secretary
Essential Function: Receptionist
Task: Telephone customer service
Performance Standard: Incumbent's performance will be considered solid when: eight out of ten calls are answered within three rings (quantity, timeliness, margin for error) and callers are greeted in the tone of voice modeled during training (quality), as well as with the department name and receptionist's name followed by "May I help you?" (expected behavior) These standards apply when number of calls and gate count for walk-ins do not exceed 20% of average (conditions).

Administrative Analyst
Essential Function: Fund Management
Task: Extramural fund balance projection
Performance Standard: Incumbent's performance will be considered solid when the extramural fund balance is projected within 5% of the actual balance (expected behavior, margin for error) and communicated to the principal investigator by agreed-upon deadlines (expected behavior, timeliness), assuming no other pressing contingencies apply (as determined by Department Head) (conditions).

Supervisor
Essential Function: Performance management for all direct reports
Task: Conducts annual performance evaluation
Performance Standard: Supervisor's performance will be considered solid when he conducts a performance evaluation (expected behavior) for every employee reporting directly to him (quantity), that follows the guidelines in the Guide to Performance Management; notifies management about overall performance that was exceptional or below expectations (expected behavior); and submits evaluations to Department Head (expected behavior) within one week of annual due date (timeliness) when no other pressing contingencies apply (as determined by Department Head) (conditions).

GUIDELINES FOR PERFORMANCE STANDARDS
Keep in mind the following guidelines when writing your performance standards:

- Performance standards should be related to the employee's assigned work and job requirements
- Your reporting systems should be adequate to measure and report any quantitative data you list
- Quantifiable measures may not apply to all functions
- Describe in clear and specific terms the characteristics of performance quality that are verifiable and that would meet or exceed expectations

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Accomplishment of organizational objectives should be included where appropriate, such as cost-control, improved efficiency, productivity, project completion, process redesign, or public service.

CHECKING YOUR STANDARDS
After you have written your performance standards, check them against the questions in the following list:

Are the standards realistic? Standards should be attainable and consistent with what is necessary to get the job done. Standards for performance that meets expectations represent the minimum acceptable level of performance for all employees in that position.

Are the standards specific? Standards should tell an employee exactly which specific actions and results he or she is expected to accomplish.

Are the standards based on measurable data, observation, or verifiable information? Performance can be measured in terms of timeliness, cost, quality and quantity.

Are the standards consistent with organizational goals? Standards link individual (and team) performance to organizational goals and should be consistent with these goals. The success of the University's and department's missions depends on this strategic connection.

Are the standards challenging? Standards may describe performance that exceeds expectations. Recognizing performance that is above expectations or outstanding is crucial to motivating employees.

Are the standards clear and understandable? The employees whose work is to be evaluated on the basis of the standards should understand them. Standards should use the language of the job.

Are the standards dynamic? As organizational goals, technologies, operations or experiences change, standards should evolve.
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Observation and Feedback
Observing work performance and providing feedback about it should be a routine part of the performance management process. Feedback should be based on observed and/or verifiable work-related behaviors, actions, statements, and results. This type of feedback is called behavioral feedback. Effective feedback helps the employee sustain good performance, to develop new skills and to improve performance when necessary.

For additional information about observation and feedback, see BLINK.

Observing employee performance and offering feedback about what you see should be a routine part of the way you manage employee performance. Feedback is most effective in reinforcing or improving work performance when the employee has confidence in the basis of that feedback. And you, as the performance manager, will be more confident when giving feedback based on information that you can support.

OBSERVING EMPLOYEE PERFORMANCE
From the standpoint of performance management, observation involves noticing specific facts, events, or behaviors related to work performance and the results of work performance.

Observations are the raw data upon which effective performance feedback may be based. The purpose of observing employee behavior and the results of work performance is to identify and describe it in order to help the employee be successful and continue to develop his or her skills, knowledge, and experience.

When you make observations about the results of employee performance, the output employees generate and the impact of their work, you gather additional information to make both praise and constructive feedback more effective.

Observations should be the basis for feedback, and may also suggest actions which might be taken to support, develop or improve performance.

Feedback based on observed or verifiable data is more likely to influence employee behavior than feedback which cannot be supported by firsthand information. It is not always possible to observe employees at work, but you should build occasions to observe their performance into your work day. In that way, you provide opportunities to understand what they do, to talk with and get feedback from them, to see employees as they perform at their best and to recognize areas in which their performance could be improved.

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WHEN YOU CAN'T BE PRESENT TO OBSERVE PERFORMANCE

When you can't be present to observe employee performance, be sure that you have processes in place through which you can learn about how they're doing. These processes should be open, fair, and understood by everyone. Options for obtaining input about performance in your absence may include, but are not limited to, the following:

- Evaluate the output and products of the employee's work.
- Have routine one-on-one meetings with your employee and include discussions of performance.
- Periodically review and discuss with your employee the standards of performance for his or her job and your expectations.
- Ask your employee to do periodic reports and share them with you for discussion.
- Obtain feedback from customers - in writing when possible.
- Do brief stand-up check-ins or phone calls.
- Ask an appropriate person who is present day-to-day to serve as a work leader or give the person authority to act in your stead, and ensure that everyone understands the person's role.
- Perform routine spot checks of the employee at work.
- Ask for confidential evaluations of employee performance by peers (or direct reports of supervisors). This process should be clearly understood by everyone and applied fairly to all.

BEHAVIORAL FEEDBACK

Feedback may be defined as "information about past behavior, delivered in the present, which may influence future behavior." (What Did You Say?: The Art of Giving and Receiving Feedback by Charles and Edith Seashore, Douglas Charles Press, North Attleborough, MA 1992.)

Feedback is influential. During the performance appraisal period, provide feedback about performance regularly. When employees receive feedback that is timely, frequent and specific they are more likely to understand what is expected of them, to repeat successful performance and to improve their work when necessary.

Feedback which describes observed or verifiable behavior and facts is different from feedback which evaluates the person based on assumptions, interpretations, generalizations and judgments about what the behavior or facts mean. Compare the following statements:

1. That was a very poor report. I wish you were more committed to doing a good job.
2. Your report was not formatted according to standard practice and the content was based on data which is a year out of date.
Note that in statement #1, the speaker has judged the employee as lacking commitment, and the statement about the report being "poor" is evaluative without being helpful. Statement #2 tells the employee exactly what needs to be improved without judging his or her character or motives. Employees' performance is more likely to improve when you ask them to do something differently rather than asking them to be different. People become defensive when they feel judged, and are more likely to accept feedback that is behavioral.

Behavioral feedback consists of statements about observed or verified behavior related to performance standards. If the employee does not understand what you expect or what the standards are, give clear messages about those expectations and standards, confirm understanding, and then give the employee a chance to improve performance to meet them.

GUIDELINES FOR GIVING BEHAVIORAL FEEDBACK
1. Behavioral feedback should be based on specific, observable or verifiable, data and information, and should be delivered as close to the event or behavior as possible.

   I noticed that you arrived at 8:30 on Monday, Tuesday and Thursday rather than at 8:00.

2. After describing your observations to the employee, ask for his or her input before you decide what the behavior means. For example, you may observe that an employee has been arriving late over a period of days. Before you decide that the employee is being irresponsible, get more information. You may find that there is a valid reason for the behavior or there are other factors that would contribute to your understanding.

   I'd like to talk with you about the reasons for your late arrival.

   **Tips for Giving Feedback**
   - Tell employees that you are going to let them know how they are doing.
   - Give feedback as close to the original event as possible.
   - Describe specific work-related behavior or results observed.
   - Ask for employee input and feedback.
   - Let employees know about the effects or impact of their performance.

3. Discuss the impact of the performance or its consequences, but never make threats or promises of promotion. When an employee understands the impact of performance, he or she will know why it is important.

   As a result, other staff had to leave their work to cover our service desk.

Communicate by your words, body language and tone of voice that your intention is to be helpful when giving feedback. The goal of feedback is to reinforce or redirect performance so that the employee can be successful.
Examples
The behavioral approach to feedback is valuable when describing performance that needs to be improved, because the employee learns which specific behaviors to change rather than receiving general comments that don't give much information. Compare the following statements:

1. This was not your best work.
2. This project was completed three weeks later than you originally estimated and the result is that our client is thinking about bringing in an outside consultant next time. What will it take to deliver on time in the future?

Statement #1 is vague and does not tell the employee what the specific performance problem was. Statement #2 gives the employee a more complete picture of what needs to be improved and the importance of improving performance. It also enlists his or her support in improving future performance.

Behavioral feedback is also valuable when giving feedback about successful performance. Compare the following statements:

1. Terrific job!
2. Everyone on the team appreciates the way you facilitated this meeting. You identified the areas in which we were confused, you summarized to help us stay on track, and you maintained your neutrality. As a result, we were able to come to a decision today rather than haggling over details for another week.

When feedback about successful performance is given in specific behavioral terms, the employee knows which behaviors to continue or repeat.

Feedback about performance in need of improvement is best delivered in private to avoid embarrassment to the employee. Some people are also embarrassed when feedback about successful performance is given in front of others. Feedback is more effective if you know and respect the preferences of your employees.

Notes that you make or records that you keep about employee performance should also be phrased in behavioral terms. Avoid statements that would imply subjective judgment or prejudice about the employee's personality, character, or motives.

Encourage your employees to keep records of their own accomplishments. The performance manager and the employee should exchange performance-related information throughout the review cycle. At these discussions, take the time to discuss accomplishments, needs for further training, and any problems or concerns. If there are performance problems, schedule meetings at regular intervals for the purpose of providing feedback on performance. This practice will ensure that you address issues promptly and foster a problem-solving approach between the performance manager and employee.

Occasionally, though not often, performance problems may arise that will warrant documentation and performance counseling. Others may be persistent enough to warrant taking more serious steps. Before initiating any formal corrective or
disciplinary action, contact your supervisor and your Employee Relations consultant in the Human Resources Department, or Human Resources Generalist at the Medical Center, for guidance and assistance.

Remember, it’s more effective to ask employees to do something differently than it is to ask them to be different.
Performance Appraisal

Performance appraisal is a process of summarizing, assessing and developing the work performance of an employee. Every career employee should receive a written performance appraisal at least annually using the appropriate UCSD Performance Appraisal Model. Consult the relevant policy or contract for the requirements specific to your employees. Writing the appraisal is preceded by a meeting with the employee, to provide the opportunity for mutual understanding of the appraisal process. The employee has the option to submit a self-appraisal that will be considered in the development of the appraisal.

For additional information about performance appraisal, see BLINK. Note that the steps as described in the policy are required for all non-represented employees.

Performance appraisal is a process of summarizing, assessing and developing the work performance of an employee. In order to be effective and constructive, the performance manager should make every effort to obtain as much objective information about the employee's performance as possible.

The following are the steps of the performance appraisal process.

**PREPARING**

Typically, the performance appraisal for career employees is due one year from the end of the probationary period or before the merit cycle. Well before that date, begin to prepare for the appraisal. The preparation process involves review and data gathering, holding a preliminary meeting with the employee, and employee preparation of a self-appraisal. The following steps are suggested:

1. Before meeting with the employee, review his or her job description and work record for the review cycle. Review your observations, notes, and the previous performance appraisal. Obtain performance feedback from people with whom the employee has worked (including direct reports, if appropriate). This is important information to have when evaluating customer service and teamwork aspects of the employee's job. Where customer service is a key part of the job, feedback from customers may also be solicited.

2. Locate and have ready any supporting information. If during the review cycle, the employee reported to more than one performance manager, it is appropriate to consult with the other performance managers for input into the appraisal. Before including any information in an appraisal that indicates
there was a performance problem, ask the previous performance manager if the information about the problem has been shared with the employee.

3. Give the employee advance notice of the performance appraisal so that he or she has the chance to review and prepare.

Performance appraisal time should not be the point at which you begin to document performance discrepancies or deal with performance problems. Ordinarily, no problems should be raised during the appraisal which you have not discussed with the employee during the review cycle.

4. Hold a preliminary meeting with the employee in private. The first meeting should take place before you write or deliver the formal performance appraisal. At this meeting, explain or review what will happen during the appraisal process and review the Performance Appraisal Model or authorized form used in your Vice Chancellor area or department. Do this even if you have appraised the employee's performance in the past. With the employee, review his or her job description and the department's strategic goals. Discuss and decide which essential functions and strategic initiatives (for which the employee is responsible) should be appraised for the period. Some functions or initiatives may not have figured prominently in the employee's role for the appraisal period, and appraisal in those areas may not be necessary or significant.

5. Conclude the meeting by scheduling a second meeting. Invite the employee to prepare a written self-appraisal, if one is used in your department. A self-appraisal may be used as the basis of discussion during the formal appraisal process. You have the option of 1) receiving the self-appraisal at the preliminary meeting, so that you will have it prior to preparing your draft; or 2) receiving the self-appraisal at the time you review your draft with the employee, for purposes of comparison, and after discussing it with the employee, you may use the self-appraisal to inform the final version of the appraisal. Self-appraisal forms are included in the forms for the model used in your department. The self-appraisal is a valuable tool through which to discover the employee's perspective on his or her performance for the review cycle, as well as to identify interests related to goals and career development initiatives.

Every career employee should receive a written performance appraisal at least annually using the appropriate official performance appraisal form. Forms that have been customized should include the UCSD campus-wide standards and be approved by the Assistant Vice Chancellor – Human Resources.

WRITING
The writing phase of the performance appraisal process involves completing the form for the Performance Appraisal Models used by your department, and writing the supporting comments. In writing the performance appraisal, and for each essential function, task, annual goal or strategic initiative to be appraised, consider three questions:

1. How does the level of performance compare with the performance standards for this function, task, goal, or initiative?
2. How was the level of performance confirmed? What did you see the employee doing? What do analytical reports or work products show?

3. What were the consequences, results and impact of the performance?

**PERFORMANCE APPRAISAL FORMS (MODELS) – COMMON FEATURES:**
A full explanation of how to complete the forms for each of the four different models is included in each model. Click [here](#) for downloadable and .pdf versions. Below is a list of general common features and differences between the models:

**COMMON FEATURES AND DIFFERENCES**
- Employee information
- UCSD campuswide standards
- Principles of Community
- Diversity
- Health and Safety
- Customer Service
- Supervision
- Rating scale
- Signatures
- Employee performance development recommendations
- Employee comments
- Self-appraisal
- Approach to appraising performance
- Goals to be accomplished for the review cycle just past
- Goals for the coming year

**Comments Describing Performance:**
Each model includes space to write your comments in support of the ratings that you give to the employee's performance. The description should include evidence of the level of performance assessed and the impact or results of the performance.

**NOTE:** Download the form in Word format, then enter the description. The table will expand to accommodate your text.

Follow a three-step process to write the supporting comments.
1. Record the rating in the space provided. See the chapter on Performance Standards in this *Guide* for a description of the ratings.

   **Example:** S (Solid Performance)

2. Describe the behavior or incidents that you have observed or verified that led to this appraisal.

   **Example:** [employee's name] word processes proposals, letters and reports with 1 - 2 errors per page on average; corrects errors on final document; follows standard format; and meets deadlines.

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Example: You word process proposals, letters and reports with 1 - 2 errors per page on average; correct errors on final document; follow standard format; and meet agreed upon deadlines.

3. State the impact or consequences of the behavior.

Example: As a result, proposals are prepared on time and information is distributed to our committee members allowing time for their review prior to scheduled meetings.

Prepare your comments in draft form to be discussed during the formal performance appraisal meeting with the employee. In your discussion with the employee and review of his or her self-appraisal, you may learn new information, or be reminded of previous information, which might cause you to revise your assessment. The final draft will be prepared and given to the employee after the formal meeting and discussions have taken place.

CONDUCTING
Planning the performance appraisal meeting contributes to the success of the process. Below are some guidelines that should help you accomplish the goals of the formal performance appraisal meeting.

1. Prior to the meeting, review your written appraisal of the employee’s performance. Review your notes covering the last year and the evidence in support of the rating you gave.

2. Plan your discussion. Objectives for the discussion include:
   - Reviewing, discussing, and confirming understanding of the essential functions listed on the job description, annual goals and standards of work performance.
   - Recognizing strengths and achievements.
   - Confirming previously identified functional areas needing improvement and establishing agreement about how improvement is to be accomplished.
   - Identifying areas in which education, training, or other development opportunities are needed and a strategy for developing skills, knowledge or abilities. Discuss and confirm understanding and agreement about the steps the employee will take to accomplish self-development goals, as well as how you or the department will help.

3. Plan to meet with the employee in private.

4. When you meet, carefully review his or her self-appraisal. Discuss areas of agreement and difference.

5. Review your draft of the Performance Appraisal Form and supporting comments with the employee. Discuss the employee's strengths first, covering each point in detail. This sets a positive tone to start the discussion. Talk about previously discussed areas needing improvement. Ask the employee for suggestions about how he or she will improve performance. Introduce your ideas for improvement as well. Consider whether anything
raised in the employee’s self-appraisal sheds new light on your assessment, and be prepared to modify your appraisal if appropriate.

6. Show your interest in your employee’s progress and your willingness to take up the discussion again any time. Close the appraisal when all points have been covered and the employee has had the opportunity to provide input. If changes will be made to the appraisal, discuss those changes and agree upon a date by which the final draft of the appraisal will be prepared and the appraisal will be signed.

7. After necessary changes have been made, ask the employee to read, comment (if he or she would like to) and sign the Performance Appraisal Form. Allow adequate time for the employee to do so. Assure the employee that his or her signature indicates that he or she has read the appraisal and that a discussion has taken place. It does not signify that the employee agrees with the appraisal. What if the employee refuses to sign? The employee may take a few days before signing the appraisal form. However, if after a reasonable period of time the employee still refuses to sign the form, performance managers may note on the form that the employee has refused to sign, date, and initial the signature block. For additional information about signatures, see UCSD Implementing Procedure 23.

You may attach work standards, supplemental performance information, work samples, and additional comments. Inform the employee that he or she can add or attach comments to the Performance Appraisal Form as well. If the employee wants to add comments, allow time to write them, and attach the comments to the original, signed file copy. Comments should be filed with the performance appraisal.

COMPLETING
A copy of the final signed performance appraisal should be given to the employee for his or her records. He or she can also use it as a guide for improving performance and for professional development. A copy of the signed performance appraisal should go in the employee’s departmental personnel file.

The performance appraisal process is intended to break down barriers and maintain open communication, creating an atmosphere that allows a candid approach to discussions of performance. During the new review period, the performance manager and employee discuss the employee’s performance on an ongoing basis until it is time for the next written appraisal. This communication is part of the ongoing process of observation and feedback.

By the time you write the performance appraisal, you will have the resources you need to do an effective job. You will have a clear and current job description and performance standards in place. You will have a supportable basis for making your appraisals. You will have documented the employee’s performance and
given clear feedback about the performance over the course of the appraisal period.

You will have provided the employee with opportunities to improve performance when necessary. There will be no surprises about performance problems. At the time of the performance appraisal, both you and the employee will discuss what the process will involve and you will invite the employee’s input. If you follow the suggestions in this Guide, you will find the process of performance appraisal to be constructive and satisfying.

**POLICY**
(For UCSD policy regarding performance appraisal see *UCSD Implementing Procedure 23*. For those employees you supervise who are represented by collective bargaining, also consult the appropriate contract.)

In general, University policy requires appraisal of the performance of career employees in writing at least once a year. Performance appraisals may be delivered more often when necessary to address performance issues. Consult the [contract](#) or [policy](#) applicable to your employees for specific information about the timing of performance appraisals. Personnel programs, policies and contracts are available in [BLINK](#) or through your Human Resources department.

**Probation**
Probation is a working assessment period. It is the final and most important stage in the selection process of quality employees. By the end of the probationary period, performance managers should be confident that the probationary performance of the employee being appraised meets or exceeds performance standards. Generally, the performance of employees who are on probation should be appraised at least once and not later than thirty days before the completion of the six-month probation period. Refer to the specific personnel [policy](#) or [contract](#) for further information about probation as it applies to particular employees.

**Annual Review Period**
Once probation is completed, the yearly cycle for the performance appraisal of career employees begins either after completion of the six-month probationary period or at the beginning of the merit cycle.

**Required Form and Disposition of Completed Forms**
To ensure that University records are consistent, use the performance appraisal forms adopted by your department. Departments may adapt the forms to their purposes, and adaptations to the standard models must be reviewed and approved by the Human Resources Department.

Spaces are provided for the signatures of the employee, performance manager and department head. Signed original employee [Performance Appraisal Forms](#) are retained in the official employee file in the department.

As mentioned above, employees should be given sufficient time to write comments concerning their performance appraisal, should they wish to. These
comments are written on the form or are attached to it and placed along with the form in the official employee file in the employee’s department.

Ensure that the employee receives a copy of the signed appraisal form.

**Records Retention**
The original, signed performance appraisal is retained in the department's personnel records for three to five years following an employee's separation. At the Medical Center, copies of all appraisals are maintained in central records storage.

The employee’s signature on the performance appraisal form indicates neither agreement nor disagreement with the appraisal. It indicates only that the employee has read the appraisal and that the appraisal has been discussed with the employee.
Guide to Performance Management

Performance Development Plan

Developing employee performance furthers the mission of the organization and enhances the overall quality of the workforce within the University by promoting a climate of continuous learning and professional growth; helping to sustain employee performance at a level which meets or exceeds expectations; enhancing job- or career-related skills, knowledge and experience; enabling employees to keep abreast of changes in their fields; making employees competitive for employment opportunities within the University; promoting affirmative action objectives; and motivating employees. Performance development plans may be considered at each stage of the performance management process.

An important component of the performance management process is development of employees' work-related skills, knowledge and experience. The development process offers another opportunity for you and your employee to work collaboratively to improve or build on his or her performance and to contribute to organizational effectiveness.

CONTINUOUS LEARNING

Development of employee skills, knowledge and experience is essential in today's rapidly changing workplace. In order for the organization to remain competitive and to retain its reputation for excellence, employees should have up-to-the-minute information and the ability to use new technologies, adapt to organizational change, work in flatter organizations in which cross-functional skills and knowledge are required, and work effectively in teams and other collaborative situations. Employees, too, recognize that it is essential for them to continue to learn so that they will be effective in their current jobs and able to move into other positions or accept new responsibilities as circumstances demand.

PREPARING A PLAN

There are four principal occasions when preparation of a performance development plan might be considered: 1) after definition or review of performance standards, 2) as a part of the ongoing process of observation and feedback, 3) as the final element of the performance appraisal process, 4) when an employee initiates a request for education or development opportunities.

At any of these points in the performance management process, you may discuss training, education or development opportunities with your employee.
Identify the specific steps to be taken and document a strategy for accomplishing these objectives. That documentation should include:

- A description of the specific steps to be taken
- The names of those who will assist the employee
- End dates for the completion of the plan's objectives
- A statement of how successful completion of the plan's objectives will be appraised.

The section for professional development goals at the end of most Performance Appraisal Models may be used to describe plans for performance or career development, or an attachment may be provided. Enter a description of the objectives, the names of any resource people or groups who will be involved in their accomplishment, and the estimated completion date.

Below is a list of examples of activities that could be considered appropriate for employee development. The list is not exhaustive, but represents many of the most commonly used methods:

- Staff Education and Development classes
- Participating in Career Connection programs
- On-the-job training, cross training
- University Extension course work or certificate programs
- Course work from external providers, schools, etc.
- Attending or participating in institutes or conferences or expos
- Membership in professional organizations
- Participation in professional organizations
- Coaching or consulting
- Writing professional articles or books
- Individual career counseling
- New Employee Orientation
- Working with a mentor
- Management development programs (Management Skills Assessment Program, Middle Management Advance, etc.)
- Attending teleconferences
- Internships
- Self-study or professional reading
- Web-based training
- Participation in projects
- Membership in campus organizations (e.g., staff associations)
- Participation on teams, task forces, or committees

CONSIDERATIONS
Performance development plans should be considered with the needs of the organization and the needs of the employee in mind. Ask yourself, "What are the new functions that this unit will need to perform in the near term and over the next two to five years? What knowledge and skills will employees need to develop in order to perform these functions?" Doing an assessment of your unit's future goals and objectives will enable you to identify development opportunities for your employees that will also benefit the organization.
Development options which improve employees' effectiveness in their current jobs are called "position-related." Development opportunities for career advancement within the University are called "career-related." Activities, not job or career-related, which employees undertake out of personal interest are not included in a performance development plan.

Refer to the appropriate collective bargaining agreement or personnel policy for specific guidelines when preparing a performance development plan for your employees. It is important that opportunities for professional development be available on a fair and equitable basis to all of your employees.

When you support and encourage the growth and development of your employees, you build employee motivation and commitment to the organization, and you improve morale. The unit, the department and the University benefit when the employee succeeds in developing new skills, knowledge or experience.

Consult with your own supervisor and Department Head when considering whether to support job-related or career-related performance development options. In most cases it is up to your Department Head to decide whether the employee may reasonably be expected to complete the proposed activity successfully and to authorize activities in which the following might be necessary:

- Flexible or alternate work schedules
- Leave without pay leave at full or partial pay
- Full or partial payment of fees and expenses
- Temporary or part-time reassignment in another department.

Some of the factors which may be appraised in deciding whether to authorize an employee's participation in a particular activity are:

- The employee's need for training
- The employee's career plan
- The needs and strategic goals of the organization
- The affirmative action objectives of the organization
- The resources of the department
- The advantages of one type of training over another
- The training needs of other department employees
- The effect of the determination on workload and other employees.

**PERFORMANCE MANAGER’S RESPONSIBILITIES**

**Assessment:**
As mentioned above, effective preparation of performance development plans, with and for your employees, requires the ability to assess the needs of the employee and the organization. You may develop your own skills in this area by attending the course, "Enhancing Career and Organizational Options," offered by Staff Education and Development on campus.

Help your employees to set career goals that are consistent with their skills, knowledge, experience and interests by providing feedback based on your observations and assessment of their abilities, readiness and potential. The assessment should be based on your actual experience and observation of
employee performance and behavior rather than on assumptions and personal biases.

The principles which apply to the development of standards for essential functions and related tasks are the same as those necessary for developing standards for annual goals and related strategic initiatives.

Providing Information:
Performance managers support career development when they inform an employee about options for and possible barriers to career movement. For example, you may tell your employees about upcoming positions or openings for which they may be qualified, or about budgetary constraints that may inhibit career options or development opportunities in the unit or department. Make sure that all of your employees have access to the electronic or printed versions of the UCSD Job Bulletin that is updated weekly.

Referral:
Refer your employees to others who can assist them in achieving development goals. As a performance manager, it is your responsibility to be aware of the appropriate referral sources both within and outside of your department. Consult Blink for organizational resources and educational benefits available for the development of UCSD employees.

You may refer employees to books, journals, professional associations or other sources of information. You may also put them in touch with people who might be willing to serve as mentors or with those who might provide an information interview in which employees can learn more about a field or position from someone who is currently working in that area or capacity.

Guiding:
Encourage your employees to focus on clear, specific and attainable career goals. Share your knowledge and experience with your employees. Typical questions employees have are: 1) what is required to move to the next logical position, 2) what are the chances for advancement in this department, 3) how to be mobile within the University, 4) what is the difference between a promotion and an upward reclassification, 5) how to qualify for training and development opportunities, and 6) who to contact for further information or career counseling.

Provide guidance to your employees about steps they might take to improve existing skills and knowledge or develop in new functional areas.

Developing:
Performance managers support employee development when they assign employees roles or tasks that challenge them and provide the opportunity to grow. Base decisions about development options and opportunities on a careful assessment of the employee's readiness to accept additional or new responsibilities or challenges. Consider delegating a responsibility that is currently your own which is appropriate to the employee's classification and development.
Provide on-the-job training and refer employees to classes, workshops, and other learning and development opportunities, and recommend employees to serve on committees, task forces or cross-functional teams.
Managing Team Performance
Definitions

**Team:** "A team is a small number of people with complementary skills who are committed to a common purpose, performance goals, and approach for which they hold themselves mutually accountable." From *The Wisdom of Teams* published by Harvard Business School Press in 1993.

By this widely used definition, an effective team is small, usually having no more than 15 members, and often between 5 and 10. It benefits from the diversity of its membership by drawing on the variety of skills, knowledge, experience and perspectives that all members bring to the team. The reason that the team exists (its mission or charge) is clearly described, understood and accepted by all members and becomes the touchstone against which priorities are established, conflicts are resolved, problems are identified and solved and decisions are made. The performance goals of the team are understood to apply to every member of the team, and accountability for accomplishing those goals is shared.

The special contribution that a team makes to an organization is the pooling of the collective creativity, skills, knowledge and experience of its members. This benefit is only realized in a climate of open communication based on trust, mutual respect, and commitment to a common purpose. Team members commit to an approach to working together which includes specific guidelines or norms (see below), developed by team members, to help them to communicate ideas and concerns, give one another feedback, conduct meetings, solve problems and make decisions.

Much of the work that teams do is conducted in meetings at which work processes, group effectiveness, and outputs are discussed; problems are analyzed and identified; and decisions related to future actions, changes, etc. are made. The meeting provides a forum and structure within which a team may work.

**Natural Work Group:** "A group of employees and their [performance manager] who produce a product or service." (TQM Teams Q & A: Performance Management/Employee Recognition commissioned by the Human Resource Quality Council of the U.S. Department of Health and Human Services, 1993.)

The structure of a natural work group is a traditional hierarchical one in which the performance manager is ultimately responsible for the performance of his or her staff. Employees are part of the group because they work in the same unit or department. Another name for a natural work group is a functional group, because the performance manager and employees make a product or deliver a service together. Authority and accountability are not shared equally, and the specific definition of a team given above may not apply in all respects to a natural work group.
**Cross-functional Team**: A group of people brought together from different functional areas to redesign a process or product or to make decisions or recommendations about a process or a product. A cross-functional team is different from a task force, because it adopts the principles of teamwork defined above, and because its charge may be either short-term or long-term. Membership will come from a number of areas within the department or organization, but may also include suppliers or customers of the organization.

Members may represent different levels of the organization and different functional areas, but while they are participating on the cross-functional team, they share responsibility and authority for the way the team works together and the accomplishments of the team.

The Time Data Gathering Team, IFIS Enhancement Team, and Staffing Process Team are examples of cross-functional teams at UCSD.

The degree of independent authority a cross-functional team has varies, depending on its charge. Cross-functional teams are often charged with the responsibility to implement the decisions they make and the changes they recommend.

**Self-directed Work Team**: A team made up of a group of employees who share responsibility for a complete product or process, or accomplishment of a significant part of a process. The self-directed work team literally directs its own work and manages its own work performance. The membership may be made up of employees from the same level or from different levels of the organization. A manager or leader may also be a part of the team, however the role of the manager or leader is usually to provide guidance and support and to be a liaison to the organization and other teams, rather than to control and authorize work. In this sense, the manager or leader facilitates work performance rather than directing it.

**Customers**: The people or groups who benefit from the services or products that the organization provides.

**External Customers**: Customers from outside of the organization. External customers in the University include students, parents, patients, researchers, corporations, and the general public.

**Internal Customers**: Customers within the organization. Internal customers in the University include faculty, staff, and student employees. Departments like Human Resources, Physical Plant Services, Mail Services, the Storehouse, as well as help desks and many other internal support staff and groups serve primarily internal customers. The success of service to external customers is dependent upon effective service to internal customers.

**Quality**: An organizational philosophy of commitment to provide the best possible products or services in response to the needs and expectations of internal and external customers. Organizations that adopt a quality philosophy typically restructure using a team approach and commit to continuous process improvement (see below).
Continuous Process Improvement: An ongoing system of identifying or anticipating problems or areas in need of improvement in technical work processes, customer service, and team interpersonal effectiveness in order to perfect the quality of the products or services supported or provided. The principle of continuous process improvement is based on the belief that even excellent products and services can be made better by improving the processes that make the products possible.

Norms: Guidelines for the way that team members will interact with one another. Norms are developed by team members, and typically include statements about how they will manage their time, conduct meetings, protect and encourage ideas, listen, confirm understanding, manage conflict, make decisions and arrive at a consensus. Most successful teams establish norms in order to create and protect an atmosphere of open communication and trust.

It is invaluable to have team norms in place before difficulties in interpersonal or meeting processes arise. The norms become the basis for giving feedback constructively.
Managing Team Performance Issues

The movement to a teamwork model raises a number of important issues for the performance manager. This chapter will help you to understand the issues involved, so that you can participate in making informed decisions about team performance management.

Since the early 1990s, the trend in the university has been toward working in teams, especially for the purposes of process improvement. This trend is in keeping with the shift away from hierarchical organizations, which has been happening in all sectors of the economy over the last twenty years.

Adopting a team approach to working together raises issues for performance managers in each phase of the performance management process. The University has not developed specific policies to deal with team-related performance management issues, although many departments within the University are working to resolve them in ways that meet their particular needs while remaining consistent with University policies and procedures. In this section, we will review the considerations that arise in the performance management of teams. An important consideration throughout is how to support a collective commitment to a shared mission, goals and objectives while at the same time reinforcing individual responsibility.

WHO IS RESPONSIBLE FOR PERFORMANCE MANAGEMENT?

Performance management in natural work groups usually operates according to the traditional performance management model in which the focus is on the work performance of an individual and his or her contributions to the mission of the organization, as observed and assessed by the performance manager. While the performance manager may solicit the input and involvement of the employee in each step in the process, authority and ultimate responsibility remains with the performance manager.

To some degree, performance management of a self-directed work team is usually done by the team itself. That degree varies from organization to organization, or even from department to department, and also depends upon the readiness of the team members to assume those responsibilities. A fully empowered mature self-directed work team will describe its own jobs, set its own standards, give feedback to members about work performance and team skills, appraise its own performance, and identify and support the training and development needs of its members. The organization will provide guidelines and a framework for that performance management, but within that framework, the team is responsible and accountable for its own performance. A cross-functional team typically operates without formal supervision, though it may have a team leader. Members usually report to performance managers in their home departments. These performance managers are often not present when team
members are participating in the work of the team and may only know about the results of the team's work and the team member's performance through the reports of others, evidence of the team's products, or via customer reports.

**WHOSE PERFORMANCE SHOULD BE MANAGED?**
When a team approach to work is in place, the focus of performance management is on the accomplishments of the team as well as the individual's contributions to those accomplishments. When the performance management process recognizes individual performance instead of team performance, the incentives work in favor of individual accomplishment alone, which can result in competitiveness at the expense of team interests. Experience has shown that team effectiveness is improved when both team and individual performance are recognized as significant and factored into the performance management process.

**SHOULD JOB DESCRIPTIONS INCLUDE TEAM RESPONSIBILITIES, SKILLS AND KNOWLEDGE?**
The answer to this question may depend upon 1) how long the team member will serve on the team, 2) the percentage of his or her time spent in team meetings or addressing the team's interests, 3) whether or not the employee's performance in teams will be formally appraised, and 4) the policy of the member's home department if he or she serves on a team outside of the department.

Employees who work on self-directed work teams may well spend most of their working day doing the work of the team. The team may be responsible for developing its own job descriptions, within University guidelines.

Some of the dimensions of teamwork that might be considered in describing tasks, skills or knowledge are active listening, providing feedback, participation in meetings, problem-solving and decision-making.

**HOW SHOULD TEAM PERFORMANCE STANDARDS BE DEVELOPED?**
Whether or not a performance manager will participate in the process or review the standards is an issue to be decided by the organization within which the team operates, but a Human Resources representative should be consulted when making such decisions. In general, the same principles apply to the development of team performance standards that apply to the development of standards for the positions of individuals. The standards should be realistic, clear, specific, consistent, measurable and/or verifiable, and appropriate to the level of the position. Standards should be developed collaboratively involving all of those to whom the standards will apply, or a representative group if the number of positions affected is large.

In addition to setting standards which address issues such as cost, timeliness, quantity, quality, independent initiative, and customer satisfaction; team standards will also typically refer to skills which make employees effective team members.

Feedback in teams should be welcomed, actively sought, timely, carefully considered, and respectfully offered. The focus should be on reinforcing and improving performance, rather than punishment, on constructive outcomes rather than blame, on common goals rather than personalities.
Help Desk Team Member

**Essential Function:** Serve as member of Help Desk Quality Improvement Team.  
**Task:** Makes recommendations to Help Desk QIT regarding areas of Help Desk service in need of improvement.  
**Performance Standard:** Help Desk Team member’s performance will meet expectations when s/he identifies (expected behavior) two opportunities (quantity) within the annual review cycle (timeliness) to improve Help Desk service and communicates those opportunities to the Help Desk QIT (expected behavior) using effective communication techniques (quality) specified in team norms (conditions).

**WHO PROVIDES OBSERVATION AND FEEDBACK TO TEAM MEMBERS?**

The ability to provide effective observation and feedback is critical to the success of every team. It is through observation that areas in need of improvement are identified and through feedback that the team becomes aware of those needs. Whether the team is self-directed and managing its own performance, or team members report to one or more performance managers, teams need to benefit from observation and feedback in order to manage their group interactions and their work processes effectively on a daily basis.

If the team has a formal reporting relationship with someone who is authorized to manage the performance of the team and its members, that person will be concerned with observing and giving feedback about the work-related behavior and outputs of the team as a whole, as well as of individual team members.

If the team members report to different performance managers, or if the performance manager is not present when the team does its work, the performance manager will need to establish procedures and relationships for learning about the work the team is doing and how it is working together. These procedures should be developed in consultation with department heads and Human Resources representatives. The process could involve receiving input from the team leader, team members, and customers of the team. If the team benefits from the services of an outside facilitator, it is probably not advisable for the facilitator to provide feedback to the performance manager so that the facilitator’s impartial role will not be compromised.

Regardless of whether team members report to performance managers, the ability of team members to observe behavior and give feedback to one another will be a factor in the success of the team in working together. This is especially true in the case of self-directed work teams in which responsibility for performance management rests primarily with the team itself.

Norms, standards and statistical data provide neutral frames of reference that make giving feedback constructive and safe. Another important source of feedback for teams is the team’s customers. This feedback may come in a variety of forms: casual conversation, surveys, feedback cards, suggestion boxes, in-person interviews, telephone interviews, and focus groups. Utilizing a combination of statistical data, customer feedback and team observation and
analysis makes interpretation of problem indicators more accurate and occasions for praise and celebration more evident.

It may not always be appropriate to give feedback in the middle of a group session. Similar issues of timing, place, and appropriateness apply in teams that apply when giving feedback between an individual performance manager and an employee.

WHOSE PERFORMANCE SHOULD BE APPRAISED?
When the sole basis for appraisal is the performance of individual team members, the incentive to work effectively with other team members may be missing. Some organizations have appraised team performance alone and not individual performance. However, the focus on team performance, without factoring in individual accountability, can have the effect of undermining a sense of individual responsibility. Since team effectiveness does depend, to some extent, on the efforts of its individual members, some organizations have found that it is worthwhile to appraise both dimensions: team performance and individual performance.

There may be some question about whether performance on a team should be appraised formally at all. The answer may depend upon how long the team member will serve on the team and the percentage of his or her work-week spent doing the work of teams.

WHO SHOULD APPRAISE TEAM PERFORMANCE?
Ordinarily, the answer to this question would be the same as the answer to the question about who should manage team performance. However, in the case of teams, it is not uncommon for input into the appraisal to come from other team members, customers of teams, team leaders or sponsors, as well as a performance manager if there is one. Some organizations which appraise individual team member's performance permit team members to choose peers who will contribute to the appraisal process in addition to input from management and customers.

Self-directed work teams are by definition responsible for managing their own performance, which includes self-appraisal. However, the extent to which they are responsible for evaluating their own performance varies. Responsibility for evaluating their work may reside with a performance manager in the early stages of team formation until the team develops the skills, knowledge and experience to appraise its own work performance. The responsibility for evaluating team performance may be delegated to the team by degrees as it matures. It is not unusual for the process to include management review as well.

Some cross-functional teams are also self-directed, but the level of self-direction may or may not include responsibility for evaluating team performance.

WHAT TO APPRAISE?
When work on teams is appraised, typically the effectiveness of work processes and their results are appraised as well as the ability of the team to work effectively together. These dimensions may be described as the work of teams.
and teamwork, and they may be appraised on an individual basis, on a team basis or both.

WHO IS RESPONSIBLE FOR THE DEVELOPMENT OF TEAM MEMBERS’ SKILLS, KNOWLEDGE AND EXPERIENCE?

Team members need to learn team skills as well as to continuously improve their technical and other work-related skills. Management, performance managers and team members typically work together to identify and provide for the education, training and development needs of team members. Departments in which self-directed work teams function will want to be aware of and anticipate the needs of team members and to provide a framework for considering requests for development.

When members of cross-functional teams require education, training or professional development opportunities in order to support their performance, the appropriate source of funding becomes an issue.

Should the employee’s home department pay or should the team sponsor or some other source provide the necessary financial support? Authorization of release time will continue to be a matter at the discretion of the department head in consultation with performance managers or other responsible parties.
Guide to Performance Management

Summary of the Performance Management Process

The performance management process begins with analysis and description of the job. The performance manager identifies essential functions in the job description and the strategic mission and goals of the department or organizational unit. Standards of minimum acceptable performance are developed for the position with the employee. Additionally, standards for performance that exceeds expectations may be set to encourage the employee to strive for even better results.

Throughout the appraisal period (typically one year), the performance manager observes and provides behavioral feedback on the performance of the employee, focusing on helping the employee to achieve successful performance. At the end of the appraisal period, and in collaboration with the employee, the performance manager prepares, writes, delivers and then produces a final copy of the written performance appraisal.

At any point in the process, the employee and performance manager may identify needs and create a plan for employee education, training or development in job or career-related areas.

The issues related to performance management of teams and team members arise out of the variety of reporting relationships and degree of independent responsibility that teams exercise, as well as the need to reinforce team values and efforts without undercutting individual responsibility. Adaptations of the performance management process with teams in mind may be made which are consistent with University policy and procedures.

By following the steps outlined in this Guide to Performance Management, you will find that the performance management process fosters improved communication with your employees. You will also achieve better results for your organizational unit or department.
Guide to Performance Management

CAMPUS PERFORMANCE MANAGEMENT
RESOURCES AT A GLANCE

Human Resources Department
(858) 534-2812

Employee Relations, Policy Development and Work/Life
Jenni Leibman (Director)
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Accommodation Counseling and Consulting Services
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Equal Opportunity/Staff Affirmative Action
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Faculty and Staff Assistance Program
(858) 534-5523

Audit and Management Advisory Services and Campus Support
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Environment, Health & Safety
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Ombuds Office
(858) 534-0777

Office of Sexual Harassment Prevention and Policy
(858) 534-8298

Risk Management
(858) 534-2454

Blink
http://blink.ucsd.edu (see the PEOPLE tab)

UCSD Web Site
http://www.ucsd.edu

Web-Based Training
http://blink.ucsd.edu/Blink/External/Topics/Policy/0,1162,133,00.html

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